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S&H Form: (2/01)  
DOCKET NO. 1454.1737

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Herbert SCHWARZBAUER

Serial No: 10/590,901

Group Art Unit: 2812

Confirmation No. 5609

Filed: July 12, 2007

Examiner: Unassigned

For: SYSTEM COMPRISING AN ELECTRICAL COMPONENT AND AN ELECTRICAL  
CONNECTING LEAD FOR SAID COMPONENT, AND METHOD FOR THE  
PRODUCTION OF SAID SYSTEM

**THIRD REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the Assignment For Published Patent Application on the Official Filing Receipt be corrected to specify **Siemens Aktiengesellschaft, München, Germany**, as is evidenced by the Transmittal Letter attached to the application as filed, and Executed Assignment filed on October 25, 2007. If the umlaut can not be printed, **Munich**, the English translation of **München**, may be substituted.


For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

It is requested that a corrected Official Filing Receipt be issued in this application.

Respectfully submitted,

STAAS & HALSEY LLP

Date: July 29 2008

By:   
Mark J. Henry  
Registration No. 36,162

1201 New York Ave, N.W., 7th Floor  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	TOT CLAIMS	IND CLAIMS
10/590,901	07/12/2007	2812	1530	1454.1737	30	2

CONFIRMATION NO. 5609

CORRECTED FILING RECEIPT



21171

STAAS &amp; HALSEY LLP

SUITE 700

1201 NEW YORK AVENUE, N.W.

WASHINGTON, DC 20005

Date Mailed: 05/30/2008

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections

## Applicant(s)

Herbert Schwarzbauer, Munich, GERMANY;

## Assignment For Published Patent Application

-- ~~Siemens~~-Aktiengesellschaft, [Munchen] GERMANY -- *München*, --Power of Attorney: The patent practitioners associated with Customer Number 21171

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP05/50218 01/19/2005

## Foreign Applications

GERMANY 10 2004 009 296.6 02/26/2004

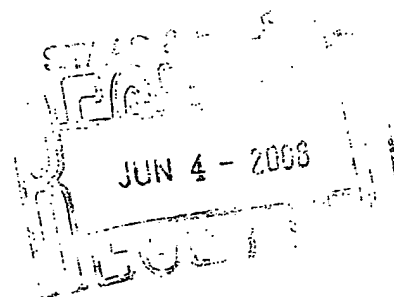
If Required, Foreign Filing License Granted: 09/23/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 10/590,901**

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No



**Title**

System Comprising an Electrical Component and an Electrical Connecting Lead for Said Component, and Method for the Production of Said System

**Preliminary Class**

438

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

**LICENSE FOR FOREIGN FILING UNDER**

**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where

the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

## ASSIGNMENT

**For good and valuable consideration, I/we, the undersigned**

**Herbert Schwarzbauer**  
residing at:  
**Kössener Str. 13A**  
**81373 München**  
**GERMANY**

**residing at:****residing at:****residing at:****residing at:**

residing at:

**residing at:****residing at:**

**hereby sell, assign, and transfer to**

**Siemens-Aktiengesellschaft**

a German corporation organized and existing under the laws of GERMANY , having its principal place of business in München , GERMANY herein the "Assignee", its successors, assigns and legal representatives the entire and exclusive right, title and interest in and for the United States, in all and to any improvements in the

**(Title:) System Comprising an electrical component and an electrical connecting lead for said component, and method for the production of said system**

disclosed in the PCT international application for Letters Patent designating the United States, said application being identified in our records as

**Applicants File No.** 2004P02025WOUS  
**and filed as PCT-application** PCT/EP2005/050218

and in and to said application and all divisional, continuing substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States on said improvements;

hereby agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name and that when requested without charge to but at the expense of said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this agreement, the undersigned will execute all divisional, continuing substitute, renewal, reissue and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and legal representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements in said Assignee, its successors, assigns, and legal representatives; and hereby covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed had been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: Sept. 27. 2006

Herbert Schwarzbauer  
Herbert Schwarzbauer

Witnesses: Norbert Seliger  
(type name) (Norbert Seliger)

Witnesses: G. Mitic  
(type name) Gerhard Mitic

Date: \_\_\_\_\_

Witnesses: \_\_\_\_\_  
(type name)

Witnesses: \_\_\_\_\_  
(type name)

Date: \_\_\_\_\_

Witnesses: \_\_\_\_\_  
(type name)

Witnesses: \_\_\_\_\_  
(type name)

☐ Application filed electronically through EFS-Web

FORM PTO-1390  
(REV. 04/2006)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
1454.1737

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
Unassigned

INTERNATIONAL APPLICATION NO.  
PCT/EP2005/050218

INTERNATIONAL FILING DATE  
January 19, 2005

PRIORITY DATE CLAIMED  
February 26, 2004

**TITLE OF INVENTION**

**SYSTEM COMPRISING AN ELECTRICAL COMPONENT AND AN ELECTRICAL CONNECTING LEAD  
FOR SAID COMPONENT, AND METHOD FOR THE PRODUCTION OF SAID SYSTEM**

**APPLICANT(S) FOR DO/EO/US**  
**Herbert SCHWARZBAUER**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (22) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
11. ☒ For publication of assignee information under 37 CFR 1.215(b), list the assignee as Siemens Aktiengesellschaft of Munchen, Germany. The Assignment papers will be filed later.

**Items 11 to 21 below concern document(s) or information included:**

12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document and separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included for recording to Siemens Aktiengesellschaft of Munchen, Germany.
14. ☒ A preliminary amendment.
15. ☐ An Application Data Sheet under 37 CFR 1.76.
16. ☒ A substitute specification.
17. ☐ A power of attorney and/or change of address letter.
18. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
19. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
20. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
21. ☒ Other items or information:

PCT/ISA/220, PCT/ISA/210, PCT/ISA237, and English Translation of Written Decision of the International Examining Authority (Supplementary Sheet), PCT Publication No. WO 2005/083785.



U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>Unassigned</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2005/050218</b>		ATTORNEY'S DOCKET NUMBER <b>1454.1737</b>	
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22. <input checked="" type="checkbox"/> The following fees are submitted:				APPLICANT USE	OFFICE USE ONLY
<input checked="" type="checkbox"/> a) Basic National Fee .....\$300.00				\$300.00	
23. <input checked="" type="checkbox"/> b) Examination Fee If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0 All other situations .....\$200.00				\$200.00	
24. <input checked="" type="checkbox"/> c) Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1) - (4) ..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations ..... \$500 <b>TOTAL OF ABOVE CALCULATIONS = \$</b>				\$400.00	
<b>TOTAL OF ABOVE CALCULATIONS = \$</b>				\$900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each addition 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Rate		
- 100 =	/50=		X 250.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	29 - 20 =	9	x \$50.00	\$450.00	
Independent claims	2 - 3 =	0	X \$200.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
<b>SUBTOTAL =</b>				\$1350.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492)(i).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$1350.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$1350.00	
Amount to be refunded:					\$
Amount to be charged:					\$

- a. ☒ A check in the amount of \$ 1350.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-3935. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Staas & Halsey LLP  
1201 New York Avenue, N.W., 7th Floor  
Washington, DC 20005

  
SIGNATURE  
Mark J. Henry  
NAME  
August 28, 2006  
Date  
36,162  
REGISTRATION NUMBER